

# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT



To:

OKABE, MASAO

No.602, Fuji Bldg.,  
2-3, Marunouchi 3-chome,  
Chiyoda-ku, Tokyo  
1000005  
Japan

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL SEARCH REPORT AND  
THE WRITTEN OPINION OF THE INTERNATIONAL  
SEARCHING AUTHORITY, OR THE DECLARATION

(PCT Rule 44.1)

Date of mailing  
(day/month/year)

15. 2. 2005

Applicant's or agent's file reference  
10003265W001

FOR FURTHER ACTION See paragraphs 1 and 4 below

International application No.  
PCT/JP 2004 / 15658

International filing date  
(day/month/year)

15.10.2004

Applicant

CANON KABUSHIKI KAISHA

1. ☒ The applicant is hereby notified that the international search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.

**Filing of amendments and statement under Article 19:**

The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):

**When?** The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.

**Where?** Directly to the International Bureau of WIPO, 34 chemin des Colombettes  
1211 Geneva 20, Switzerland, Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.

3. ☐ With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Reminders:**

Shortly after the expiration of 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise, the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the ISA/JP

Japan Patent Office

3-4-3, Kasumigaseki, Chiyoda-ku, Tokyo 100-8915, Japan

Authorized officer

Commissioner of the Patent Office

Telephone No. +81-3-3581-1101 Ext. 3253

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## ATTENTIONS

1. An applicant should pay attention that there is an amendment period for requesting to International Bureau computing from the dispatch date of the international search report under Treaty Article 19 (1) and Regulations 46.1.
2. An applicant should pay attention to the period prescribed by Treaty Article 22 (2).
3. Demand for copy of documents

Copy of the documents described in the international search report.

An applicant can request the copy of these cited documents to the Japanese Patent Office; however, National Center for Industrial Property Information (Japan Patent Office building 2nd floor) handles inspection and copying of official gazettes and copying of other document etc.

### [Contact and Reference]

National Center for Industrial Property Information

〒100-0013

3-4-3 Kasumigaseki Chiyoda-ku Tokyo

(Japan Patent Office building 2nd floor)

(Official gazettes) Industrial Property Information Reference Department

TEL: 03-3581-1101 Ext. 3811, 3812

(Others) Industrial Property Reference Materials Department

TEL: 03-3581-1101 Ext. 3831, 3832, 3833

Japan Patent Information Organization also services sales of the copy of these cited documents. Those who request copying of the cited documents should pay attention to the following points.

### [Application Method]

- (1) As for Patent (Utility Model, Design) Gazette, the following points shall be defined clearly.

- ☐ Types of patent, utility model, and design
- ☐ Fiscal year and number of publication of application or publication of unexamined application (or patent number, registration number)
- ☐ Necessary number of paper sheets

- (2) As for documents except for the gazette, the following points are required attention.

- ☐ Be sure to attach the copy of the international search report (which shall be returned).

### [Application and Reference]

〒135-0016

4-1-7 Toyo Koto-ku, Tokyo

Sato Daiya Building

Foundation of Japan Patent Information Organization

Information Processing Department

Copy Service section

TEL: 03-3508-2313

Note: The period for requesting the copy of the documents to Japan Patent Office is set to 7 years from the international application date.

## NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under Article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the *PCT Applicant's Guide*, a publication of WIPO.

In these Notes, "Article," "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions, respectively.

### INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report and the written opinion of the International Searching Authority, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only (see *PCT Applicant's Guide*, Annexes B1 and B2).

#### What parts of the international application may be amended ?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Preliminary Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

**When ?** Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

#### Where not to file the amendments ?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

**How ?** Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

#### What documents must/may accompany the amendments ?

##### Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

## NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:  
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:  
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:  
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or  
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:  
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

### "Statement under Article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

**It must be in the language in which the international application is to be published.**

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

### Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments and any accompanying statement, under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the time of filing the amendments (and any statement) with the International Bureau, also file with the International Preliminary Examining Authority a copy of such amendments (and of any statement) and, where required, a translation of such amendments for the procedure before that Authority (see Rules 55.3(a) and 62.2, first sentence). For further information, see the Notes to the demand form (PCT/IPBA/401).

If a demand for international preliminary examination is made, the written opinion of the International Searching Authority will, except in certain cases where the Authority which established the written opinion does not also act as International Preliminary Examining Authority, be considered to be a written opinion of the International Preliminary Examining Authority. In this case, the applicant is invited to submit to the International Preliminary Examining Authority a written reply together, where appropriate, with amendments before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later (Rule 43bis.1(c)).

### Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see the *PCT Applicant's Guide*, Volume II.

# PATENT COOPERATION TREATY

From the  
INTERNATIONAL SEARCHING AUTHORITY

# PCT

To:

**OKABE, MASAO**

No. 602, Fuji Bldg.,  
2-3, Marunouchi 3-chome,  
Chiyoda-ku, Tokyo  
1000005  
Japan

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

(PCT Rule 43bis.1)



Date of mailing  
(day/month/year)

**15. 2. 2005**

Applicant's or agent's file reference

**10003265W001**

**FOR FURTHER ACTION**

See paragraph 2 below

International application No.

**PCT/JP2004/15658**

International filing date (day/month/year)

**15. 10. 2004**

Priority date (day/month/year)

**17. 10. 2003**

International Patent Classification (IPC) or both national classification and IPC

Int.Cl. **H01L31/04**

Applicant

**CANON KABUSHIKI KAISHA**

1. This opinion contains indications relating to the following items:

- ☒ Box No. I Basis of the opinion
- ☐ Box No. II Priority
- ☐ Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- ☐ Box No. IV Lack of unity of invention
- ☒ Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- ☐ Box No. VI Certain documents cited
- ☐ Box No. VII Certain defects in the international application
- ☐ Box No. VIII Certain observations on the international application

2. FURTHER ACTION

If a demand for international preliminary examination is made, this opinion will be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA") except that this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notified the International Bureau under Rule 66.1bis(b) that written opinions of this International Searching Authority will not be so considered.

If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later.

For further options, see Form PCT/ISA/220.

3. For further details, see notes to Form PCT/ISA/220.

Date of completion of this opinion

Name and mailing address of the ISA/JP

**Japan Patent Office**

3-4-3, Kasumigaseki, Chiyoda-ku, Tokyo 100-8915, Japan

Authorized officer

**YUKIHIRO KONDO**

Telephone No. +81-3-3581-1101 Ext. 3253



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WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

PCT/JP2004/15658

Box No. I Basis of the opinion

1. With regard to the language, this opinion has been established on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ This opinion has been established on the basis of a translation from the original language into the following language \_\_\_\_\_, which is the language of a translation furnished for the purposes of international search (under Rules 12.3 and 23.1(b)).

2. With regard to any nucleotide and/or amino acid sequence disclosed in the international application and necessary to the claimed invention, this opinion has been established on the basis of:

a. type of material

- ☐ a sequence listing  
☐ table(s) related to the sequence listing

b. format of material

- ☐ in written format  
☐ in computer readable form

c. time of filing/furnishing

- ☐ contained in the international application as filed.  
☐ filed together with the international application in computer readable form.  
☐ furnished subsequently to this Authority for the purposes of search.

3. ☐ In addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

4. Additional comments:

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

PCT/JP2004/15658

Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Claims	<u>1-10</u>	YES
	Claims		NO
Inventive step (IS)	Claims	<u>1-10</u>	YES
	Claims		NO
Industrial applicability (IA)	Claims	<u>1-10</u>	YES
	Claims		NO

2. Citations and explanations

The subject matters of claims 1-10 are neither disclosed in any of the documents cited in the ISR nor obvious to a person skilled in the art.


10003265WO01

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## PCT REQUEST

Original (for SUBMISSION )

0	For receiving Office use only	
0-1	International Application No.	
0-2	International Filing Date	
0-3	Name of receiving Office and "PCT International Application"	



0-4	Form PCT/RO/101 PCT Request	
0-4-1	Prepared Using	PCT-SAFE [EASY model] Version 3.50 (Build 0002.163)
0-5	Petition The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
0-6	Receiving Office (specified by the applicant)	Japan Patent Office (RO/JP)
0-7	Applicant's or agent's file reference	10003265WO01
I	Title of Invention	PHOTOVOLTAIC ELEMENT AND METHOD OF PRODUCING PHOTOVOLTAIC ELEMENT
II	Applicant	
II-1	This person is	applicant only
II-2	Applicant for	all designated States except US
II-4	Name	CANON KABUSHIKI KAISHA
II-5	Address	3-30-2, Shimomaruko, Ohta-ku, Tokyo 1468501 Japan
II-6	State of nationality	JP
II-7	State of residence	JP
II-8	Telephone No.	03-3758-2111
II-9	Facsimile No.	03-3756-9474
III-1	Applicant and/or inventor	
III-1-1	This person is	applicant and inventor
III-1-2	Applicant for	US only
III-1-4	Name (LAST, First)	TAKEYAMA, Yoshifumi
III-1-5	Address	c/o CANON KABUSHIKI KAISHA, 3-30-2, Shimomaruko, Ohta-ku, Tokyo 1468501 Japan
III-1-6	State of nationality	JP
III-1-7	State of residence	JP



## PCT REQUEST

Original (for SUBMISSION )


IV-1	Agent or common representative; or address for correspondence The person identified below is hereby/ has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	agent
IV-1-1	Name (LAST, First)	OKABE, Masao
IV-1-2	Address	No. 602, Fuji Bldg., 2-3, Marunouchi 3-chome, Chiyoda-ku, Tokyo 1000005 Japan
IV-1-3	Telephone No.	03-3213-1561
IV-1-4	Facsimile No.	03-3214-0929
IV-2	Additional agent(s)	additional agent(s) with same address as first named agent
IV-2-1	Name(s)	KATO, Nobuaki; UBUKATA, Kazuo; USUI, Shinichi; FUJINO, Ikuo; OCHI, Takao; MOTOMIYA, Teruhisa; TAKANASHI, Norimichi; ASAHI, Nobumitsu; TAKAHASHI, Seiichiro; YOSHIZAWA, Hiroshi; MATSUI, Takao
V	DESIGNATIONS	
V-1	The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.	
VI-1	Priority claim of earlier national application	
VI-1-1	Filing date	17 October 2003 (17.10.2003)
VI-1-2	Number	2003-357778
VI-1-3	Country	JP
VI-2	Priority document request The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) identified above as item(s):	VI-1
VII-1	International Searching Authority Chosen	Japan Patent Office (ISA/JP)

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## PCT REQUEST

Original (for SUBMISSION )

<b>VIII</b>	<b>Declarations</b>	<b>Number of declarations</b>		
VIII-1	Declaration as to the identity of the inventor	-		
VIII-2	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	-		
VIII-3	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	-		
VIII-4	Declaration of inventorship (only for the purposes of the designation of the United States of America)	-		
VIII-5	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	-		
<b>IX</b>	<b>Check list</b>	<b>number of sheets</b>	<b>electronic file(s) attached</b>	
IX-1	Request (including declaration sheets)	4	✓	
IX-2	Description	43	-	
IX-3	Claims	4	-	
IX-4	Abstract	1	✓	
IX-5	Drawings	6	-	
IX-7	<b>TOTAL</b>	<b>58</b>		
	<b>Accompanying Items</b>	<b>paper document(s) attached</b>	<b>electronic file(s) attached</b>	
IX-8	Fee calculation sheet	✓	-	
IX-9	Original separate power of attorney	✓	-	
IX-17	PCT-SAFE physical media	-	✓	
IX-18	other	<b>Receipt of the fees paid to deposit account of WIPO</b>		
IX-18	other	<b>Revenue stamps</b>		
IX-19	Figure of the drawings which should accompany the abstract	<b>Fig. 1</b>		
IX-20	Language of filing of the international application	<b>English</b>		
X-1	Signature of applicant, agent or common representative			
X-1-1	Name (LAST, First)			<b>TAKANASHI, Norimichi</b>
X-1-2	Name of signatory			
X-1-3	Capacity			

10003265WO01

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**PCT REQUEST**

Original (for **SUBMISSION** )

**FOR RECEIVING OFFICE USE ONLY**

10-1	Date of actual receipt of the purported international application	
10-2	Drawings:	
10-2-1	Received	
10-2-2	Not received	
10-3	Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application	
10-4	Date of timely receipt of the required corrections under PCT Article 11(2)	
10-5	International Searching Authority	ISA/JP
10-6	Transmittal of search copy delayed until search fee is paid	

**FOR INTERNATIONAL BUREAU USE ONLY**

11-1	Date of receipt of the record copy by the International Bureau	
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